

# FAMILY DEVELOPMENT AND SELF-SUFFICIENCY (FADSS) **PROGRAM STANDARDS** SUMMARY AND GUIDE

*State Fiscal Year 2016*

Iowa Department of Human Rights  
Division of Community Action Agencies



**Overview**

This document sets forth a comprehensive guide to the Family Development and Self-Sufficiency Program (FaDSS) standards for service delivery and is designed for use by FaDSS programs to measure fidelity to the program model. The standards are presented in two formats: 1) a quick-reference, summary listing of each standard and 2) a detailed guide including criteria to meet each standard, method(s) of review, and evidence of compliance.

The standards are organized into the following categories:

1. Pre-Enrollment (*Standards 1-2*)
2. Enrolled (*Standards 3-23*)
  - a. Initial Enrollment Activities
  - b. Ongoing Service Provision
3. Supervision, Training, and Qualifications (*Standards 24-32*)
4. Organizational (*Standards 33-47*)

The standards should be regarded as the minimum expectations of the Family Development and Self-Sufficiency Program (FaDSS). Each individual program may have stricter requirements.

**Contact Information**

Iowa Department of Human Rights  
Division of Community Action Agencies  
Lucas State Office Building  
321 E. 12<sup>th</sup> Street  
Des Moines, IA 50319  
<http://www.iowafadss.org/>

## Summary of FaDSS Program Standards

### Pre-Enrollment (Standards 1-2)

1. Services are available to help families maintain or strengthen child, individual, and family functioning.
2. Families that are referred to the program are engaged promptly and responsively to identify needs and direct the family to appropriate services.

### Enrolled (Standards 3-23)

#### **Initial Enrollment Activities**

3. The FaDSS referral form is completed accurately and timely for all families that are referred to the program.
4. Family files will contain a FaDSS Profile and Exit Form (if applicable) that are completed accurately, thoroughly, and in a timely manner.
5. All family files will contain the FaDSS Statement of Family Rights.
6. Family files will contain a current Family Investment Agreement (FIA).
7. Family files will contain a current release of information when legally required.

#### **Ongoing Service Provision**

8. Families will be actively engaged in the FaDSS program through transition (until the family has been off of FIP for three months).
9. Families will receive a minimum of two home or quality visits and one significant contact per month for the first three months.
10. During the third month of enrollment, all family files will be staffed to determine the level of service intensity beginning in the fourth month.
11. Any change in the level of service intensity addressed in the staffing of the family must be documented in the family file by the specialist.
12. After the first three months of enrollment, families will receive the number of visits and significant contacts identified through staffing with the supervisor.
13. All home or quality visits, other contacts, attempts to contact, closing summary, and collateral contacts made with the family or on behalf of the family will be accurately and thoroughly documented in the family file.
14. Specialists will collaborate with other programs that the family is involved with to share case planning strategies.
15. Efforts are made to include all family members in home visits.
16. Family issues are discussed, strategies developed and appropriate action taken.
17. FaDSS staff assist parents to enhance their parenting skills and knowledge of child development.
18. Family files will contain completed assessment tool(s).
19. Family files contain written goals that have been developed, modified or reviewed at every home or quality visit.

- |            |  |
|------------|--|
| <b>20.</b> | Goals reflect the family issues and demonstrate progress toward achievement.   |
| <b>21.</b> | All families enrolled in the FaDSS program will have a FaDSS Self-Sufficiency Matrix completed at enrollment and exit. |
| <b>22.</b> | Family files will contain monthly PROMISE JOBS updates for families receiving FIP.                                     |
| <b>23.</b> | Specialists will make every effort to attend Family Investment Agreement (FIA) appointments.                           |

### Supervision, Training, and Qualifications (Standards 24-32)

- |            |  |
|------------|--|
| <b>24.</b> | Specialists will be observed on a minimum of two home visits per year by their supervisor.   |
| <b>25.</b> | Supervisors will address each specialist's entire caseload during a monthly one-on-one meeting.  |
| <b>26.</b> | Supervisors will have a minimum of two contacts with each specialist per month.  |
| <b>27.</b> | All files must be reviewed during the third month of enrollment and at exit.   |
| <b>28.</b> | FaDSS staff are trained to fulfill their job responsibilities.   |
| <b>29.</b> | All grantees are required to have one staff trained by DCAA to provide training on the FaDSS Code of Ethics, Difficulty of Service Scale, and Self-Sufficiency Matrix. |
| <b>30.</b> | Supervision of specialists must be provided by staff that meet the qualifications outlined in the DCAA contract.   |
| <b>31.</b> | All staff listed on the FaDSS staffing grid will have a state criminal background and child abuse records check completed prior to hire.                               |
| <b>32.</b> | Secure maintenance of family files.  |

### Organizational (Standards 33-47)

- |  |   |
|--|---|
| <b>33. Open and Transparent Operations</b>                 | The organization operates in an open and transparent manner in accordance with applicable legal requirements and uses assets exclusively and effectively to serve the purpose for which it has been created.  |
| <b>34. Conflict of Interest</b>                            | The organization prevents the enrichment of insiders and other abuses through the adoption and enforcement of a conflict of interest policy consistent with state laws and regulations.   |
| <b>35. Protection of Reporters of Suspected Misconduct</b> | The organization prohibits employment-related retaliation against employees, and others affiliated with the organization, who come forward with information about suspected misconduct or questionable practices, and provides an appropriate, confidential channel for reporting such information. |

<b>36. Professional Conduct</b>	The organization conducts business and delivers services in an honest, ethical, objective manner and is guided in making decisions by professional responsibility.
<b>37. Protection of Rights and Ethical Obligations</b>	The organization protects the legal and ethical rights of all clients.
<b>38. Confidentiality and Privacy Protections</b>	The organization protects the confidentiality of information about clients and assumes a protective role regarding the disclosure of confidential information.
<b>39. Grievance Procedures</b>	The organization maintains a formal mechanism through which applicants, clients, and other stakeholders can express and resolve grievances, including denial of service.
<b>40. Personnel Development and Training</b>	The organization's training and development program provides personnel with the information necessary to competently provide services.
<b>41. Supervision</b>	The organization has a system of supervision that promotes effective use of organizational resources and positive outcomes.
<b>42. Leadership Endorsement of Quality and Performance Values</b>	The organization's leadership promotes a culture that values service quality and continual efforts by the full organization, its partners and contractors to achieve strong performance, program goals, and positive results for service recipients.
<b>43. Access to Case Records</b>	Service recipients or designated legal representatives can access their case records, consistent with legal requirements.
<b>44. Human Resources</b>	A stable, qualified workforce contributes effectively and efficiently to consumer satisfaction and positive service delivery results.
<b>45. Fiscal Management</b>	The organization's financial accountability and viability are achieved through the application of sound financial management practices that accord with legal and regulatory requirements.
<b>46. Governance</b>	The organization's governing body is sufficiently active, capable, and diverse to guide, plan, and support the achievement of the organization's mission and goals.
<b>47. Research Protections</b>	An organization establishes the right of individuals to refuse to participate without penalty and guarantees participants' confidentiality.

### Comprehensive Standards Guide

The following guide sets forth each program standard including detailed descriptions of 1) the criteria to meet each standard, 2) the evidence of compliance with each standard, and 3) the method(s) of review used to determine overall compliance.

Key – Method of Review			
<b>AR</b>	Annual Report (Grantee)	<b>FC</b>	FaDSS Contract
<b>CSBG</b>	Community Service Block Grant *	<b>FDR</b>	Fiscal Desk Review
<b>DR</b>	FaDSS Desk Review	<b>FOS</b>	FaDSS Onsite
		<b>FR</b>	Fiscal Review
		<b>GR</b>	Grant Renewal
		<b>WBSR</b>	Web-Based System Review

\*For Community Action Agencies Only

### Definitions – Contacts

#### Visits

<b>Home Visit</b>	Home visits are contacts with a family that occur in the family's home environment. These visits must include goal setting and may include some combination of assessment, screening, and general strategizing to identify strengths and address barriers. Home visits may vary in length, but generally last an hour.
<b>Quality Visit</b>	Quality visits are contacts with a family that occur somewhere other than the family's home environment. These visits must include goal setting and may include some combination of assessment, screening, and general strategizing to identify strengths and address barriers. Quality visits may vary in length, but generally last an hour. Quality visits may occur in locations such as a library, park, office (such as the grantee's office), or other location requested by the family. Case notes must document the rationale for conducting a visit outside of the family's home environment. Family Investment Agreement (FIA) appointments are considered quality visits.

#### Contacts

<b>Significant Contacts</b>	Any contact with a family (outside of home or quality visits) that involves information-sharing or follow-up that is specific to the family, including progress towards accomplishment of goals, or other items of importance to the family that are not necessarily identified through goal-setting. <i>Note:</i> contacts that exclusively address scheduling/verifying a visit or leaving a message asking a family to return the call are not considered significant.
<b>Face-to-face</b>	Face-to-face contacts with families <i>do not</i> involve goal-setting, assessment, screening, or other formal

	components of the FaDSS model, but <i>do</i> involve in-person interaction with a family. Face-to-face contacts may vary in length, location, and content. Examples of face-to-face contacts include (but are not limited to) the following: 1) dropping off information/resources with a family at their home, 2) briefly conversing with a family that may be visiting the grantee's office to apply for another service, 3) interacting with a family at a community event.
<b>Phone</b>	Communication via phone (may or may not be significant – see definition of significant contacts)
<b>Text</b>	Communication via text (may or may not be significant – see definition of significant contacts)
<b>Email</b>	Communication via email (may or may not be significant – see definition of significant contacts)
<b>Mail</b>	Communication via mail that involves an exchange of information (beyond scheduling or confirming a visit). Mailed correspondence (letters, flyers, etc.) must be relevant and tailored to a family. Examples of significant mail contact include (but are not limited to) the following: 1) a personalized letter to the family that includes information about a community resource that is specifically tied to the family's need, 2) a flyer with information about an upcoming community event of interest to the family. The flyer includes a hand-written, personalized note to the family.
<b>Attempted Contacts</b>	Attempts of any of the contacts identified above must be clearly documented.
<b><i>Service Intensity</i></b>	
<b>Service Intensity</b>	<p>Service Intensity is defined as the frequency of contact between the specialist and the family each month. Service intensity is developed by assessing a family's situation and level of need for contact. The specialist, with input from the program supervisor, may use a combination of observation and discussions with the family to assess for an appropriate level of service intensity. The level of service intensity determined through staffing must be documented in the family file. Service intensity shall include no less than three contacts per month, one of which must be a home visit.</p> <ul style="list-style-type: none"> <li>• Service intensity of one home visit requires two significant contacts.</li> <li>• Service intensity of two home visits requires one significant contact.</li> <li>• Service intensity of three home visits requires no additional significant contacts.</li> </ul> <p>In any given month of service, a family may receive more contacts than the level determined through service intensity, but not less.</p>

**Pre-Enrollment (Standards 1-2)****1. Services are available to help families maintain or strengthen child, individual, and family functioning.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>• Grantee three year grant application - marketing plan</li> <li>• Community Partnership section of Annual Report</li> <li>• Marketing materials</li> <li>• Program personnel interviews</li> </ul>	AR DR GR FOS	<ul style="list-style-type: none"> <li>• Grantees have approved marketing plan and are implementing the plan</li> <li>• Grantees will identify referral sources in the Community Partnership section of their Annual Report</li> </ul>

**2. Families that are referred to the program are engaged promptly and responsively to identify needs and direct the family to appropriate services.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>• Grantee Referral Process</li> <li>• Grantee Waiting List Protocol</li> <li>• Review of pre-enrollment records in family file or in method of storage outlined by grantee</li> <li>• Completed referral form</li> <li>• Program personnel interviews</li> </ul>	FOS	<ul style="list-style-type: none"> <li>• Grantees will have a process that addresses all referrals to the FaDSS program. The process includes the following: <ul style="list-style-type: none"> <li>○ Discussion of how the agency receives referrals (i.e. are referrals received by the coordinator, or by specialists?)</li> <li>○ Timelines for getting referrals to specialists (if referrals are received by someone other than specialists)</li> <li>○ How the FaDSS Monthly FIP List and any other screening process is used</li> <li>○ Discusses expectations for timely enrollment of families</li> <li>○ Ensures equitable treatment to all referrals</li> <li>○ Gives priority to urgent needs</li> <li>○ Discusses approved waiting list policy.</li> </ul> </li> <li>• All pre-enrollment documentation is stored per grantee storage method</li> <li>• Grantee referral process is followed</li> <li>• Waiting list protocol is followed</li> <li>• Families on waiting list and non-enrolled referrals are connected with or referred to appropriate resources if needed.</li> </ul>

(Next)



		<ul style="list-style-type: none"> <li>Families referred to the program have referral form completed accurately and other pre-enrollment documentation in family file or other storage by the 10<sup>th</sup> of the following month of enrollment.</li> </ul> <p><i>Guidance</i> Pre-enrollment applies to families that are being recruited, families that are not enrolled after recruitment, and families on the waiting list.</p>
--	--	--

### Enrolled (Standards 3-23)

#### ***Initial Enrollment Activities***

#### **3. The FaDSS referral form is completed accurately and timely for all families that are referred to the program.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File</li> <li>Specialist Interviews</li> <li>Grantee Waiting List Protocol</li> </ul>	FOS	<ul style="list-style-type: none"> <li>FaDSS referral form is completed accurately and timely for all families that are referred to the program.</li> <li>FaDSS referral form is stored according to the outcome of the referral.</li> </ul> <p><i>Guidance</i> For referrals that enroll in the FaDSS program, the completed referral form will be stored in the family file. For referrals that are placed on a waiting list or that do not enroll in the FaDSS program, the completed referral form will be stored according to the method outlined by the grantee.</p>

#### **4. Family files will contain a FaDSS Profile and Exit Form (if applicable) that are completed accurately, thoroughly, and in a timely manner.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> <li>FaDSS Web-based system</li> </ul>	FOS FWBSR	<ul style="list-style-type: none"> <li>The information is coded correctly and in the file and entered into the web based system by the 10<sup>th</sup> of the following month of the enrollment and exit.</li> </ul> <p><i>Guidance</i> Families are exited from the program no later than the end of the third month of transition.</p>

**5. All family files will contain the FaDSS Statement of Family Rights.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<ul style="list-style-type: none"> <li>Specialist has noted in case note that family rights have been discussed.</li> <li>FaDSS Statement of Family Rights is in the file signed by worker and family.</li> <li>FaDSS Statement of Family Rights is completed within 30 days of enrollment.</li> </ul>

**6. Family files will contain a current Family Investment Agreement (FIA).**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<ul style="list-style-type: none"> <li>FIA is in the file or documentation that a request(s) has been made by the 10<sup>th</sup> of the following month of enrollment.</li> <li>FIA lists FaDSS as an activity or documentation that a request has been made to add FaDSS.</li> </ul>

**7. Family files will contain a current release of information when legally required.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<p><i>FaDSS has a memorandum of understanding with PROMISE JOBS and the income maintenance workers at the Department of Human Services so no release needed. If your agency has a policy/procedure regarding exchanging of information within agency programs no release is needed. Grantee will have policy in place to inform family.</i></p> <ul style="list-style-type: none"> <li>The file contains the appropriate releases.</li> <li>Release forms contain the following elements:             <ul style="list-style-type: none"> <li>The signature of the person whose information will be released, or the parent, or legal guardian of the person who is unable to provide authorization;</li> <li>The specific information to be released;</li> <li>The purpose for which the information is to be used, except how disclosure is mandated by the law or the person is receiving services under court supervision or directive;</li> </ul> </li> </ul>

(Next)

		<ul style="list-style-type: none"> <li>○ The date the release takes effect;</li> <li>○ The date the release expires, not to exceed 90 days from when authorization is given for a one-time release of information, and not to exceed one year, or as the law requires when a contracted or cooperating service provider requires the release of information for ongoing service provision;</li> <li>○ The name of the person within the organization who is providing the confidential information; and</li> <li>○ A statement that the person or family may withdraw their authorization at any time.</li> </ul> <ul style="list-style-type: none"> <li>• The organization provides a copy of the signed release to the person or family authorizing the disclosure of confidential information and places a copy in the case record.</li> <li>• For grantee internal exchange of information, the family has been informed that information may be exchanged to enhance service provision.</li> <li>• FaDSS programs participating in a <b><u>coordinated intake</u></b> or <b><u>collaborative service provision</u></b> process will have a formal agreement. The agreement will include detailed information about release of information forms. Programs participating may have prospective participants sign a single release of information form that identifies all participating programs. <ul style="list-style-type: none"> <li>○ Release of information for <b><u>coordinated intake</u></b> will not be valid for more than 90 days. This type of release of information will be for the limited purpose of placement and enrollment in a program/service via a coordinated intake process.</li> <li>○ Release of information for <b><u>collaborative service provision</u></b> is more ongoing in nature and the agreement will specify the length the release is valid; however, the release will not be valid for more than one year.</li> <li>○ All other elements of the release that are stated in this standard must be followed. The participant must be informed they are signing a release with all participating entities.</li> </ul> </li> </ul> <p><i>Guidance</i></p> <ul style="list-style-type: none"> <li>• Any breach of confidentiality (with the exception of instances such as imminent harm or the reporting of suspected child abuse) will result in an overall “needs improvement.” A breach of confidentiality involves releasing confidential information without written authorization when such authorization is legally required.</li> <li>• 70% of files reviewed must meet the technical criteria outlined in bullets 2 through 5 of the standard.</li> </ul>
--	--	--

<b>Ongoing Service Provision</b>		
<b>8. Families will be actively engaged in the FaDSS program through transition (until the family has been off of FIP for three months).</b>		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<p><b>Program Summary</b></p> <ul style="list-style-type: none"> <li>1<sup>st</sup> home visit - contact note includes a summary explanation of the design of the program and the length of time in the program. (3 months after they end FIP)</li> </ul> <p><b>Timeline for Program Completion</b></p> <ul style="list-style-type: none"> <li>1<sup>st</sup> home visit - contact note includes tentative timelines for successful completion. Case notes discuss how the length of time in the program was formulated.</li> <li>Ongoing case notes continue to discuss timelines for completion and are adjusted as needed.</li> </ul> <p><b>Aftercare</b></p> <ul style="list-style-type: none"> <li>Families not able to complete the program as designed will have been linked with appropriate services as needed.</li> <li>If needed specialist has explored suitable resources, contacted service providers and has done follow up regarding the after care plan when possible with proper releases.</li> <li>When exit date is known, an aftercare plan will be noted in the case note. Case notes discuss goals that need to be completed, services that are needed or desired are identified and steps for both the specialist and family member are specified to obtain them.</li> </ul> <p><b>Exit Requirements</b></p> <ul style="list-style-type: none"> <li>Families are exited from the program no later than the end of the third month of transition.</li> </ul> <p><i>Guidance</i> Case closing and aftercare is a planned, orderly process that evolves over the length of time the families are in the program. Planning for exits begins at program enrollment. The program is explained to the family at the first visit.</p>

**9. Families will receive a minimum of two home or quality visits and one significant contact per month for the first three months.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<p><i>Families that enroll by the 10<sup>th</sup> of the month will be held to the standard of 2 home visits. Families that enroll after the 10<sup>th</sup> of the month will receive 2 home visits during the 1<sup>st</sup> month of enrollment when feasible.</i></p> <ul style="list-style-type: none"> <li>Families receive two home or quality visits for the first three months of enrollment.</li> <li>A rationale for the use of quality visits is provided in the case notes, if applicable.</li> <li>Specialists complete a minimum of one significant contact with families.</li> <li>If a family receives less than two home or quality visits and one significant contact, the standard may still be met if sufficient attempts have been made to re-engage the family. This can include drop by visits, phone calls or letters to reschedule.</li> </ul> <p><i>Guidance</i></p> <ul style="list-style-type: none"> <li>Formal monitoring of this standard will apply to all family files enrolled after October 1, 2015. Files enrolled prior to October 1, 2015, will be reviewed using Standard 9 of the SFY 2015 Program Summary and Standards Guide.</li> <li>Significant contacts include: phone calls, letters, face-to-face contacts, emails and texts.</li> <li>These contacts must include information-sharing or follow-up that is specific to the family (beyond verifying a visit).</li> <li>The significance of the contact will be assessed by the reviewer of the file. It will be discussed with the specialist and the supervisor with final determination by the reviewer.</li> <li>The re-engagement of the family will be assessed by the reviewer of the file. It will be discussed with the specialist and the supervisor with final determination by the reviewer.</li> </ul>

10. During the third month of enrollment, all family files will be staffed to determine the level of service intensity beginning in the fourth month.		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> <li>Supervisor Tracking &amp; Interview</li> </ul>	FOS	<ul style="list-style-type: none"> <li>Specialists will staff each family with their supervisor during a one-on-one meeting <b>during the third month</b> to determine the level of intensity beginning in the fourth month.</li> <li>Service intensity shall include no less than three contacts per month, one of which must be a home visit.               <ul style="list-style-type: none"> <li>Service intensity of one home visit requires two significant contacts.</li> <li>Service intensity of two home visits requires one significant contact.</li> <li>Service intensity of three home visits requires no additional significant contacts.</li> </ul> </li> <li>The level of service intensity must be documented in the family file.</li> <li>Documentation will demonstrate that determination of service intensity is tied to the unique needs and situation of each family.</li> </ul> <p><i>Guidance</i></p> <ul style="list-style-type: none"> <li>In any given month of service, a family may receive more contacts than the level determined through service intensity, but not less.</li> <li>The appropriateness of service intensity will be assessed by the reviewer and discussed with the specialist and the supervisor; final determination rests with the reviewer.</li> </ul>
11. Any change in the level of service intensity addressed in the staffing of the family must be documented in the family file.		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File</li> <li>Supervisor Tracking &amp; Interview</li> </ul>	FOS	<ul style="list-style-type: none"> <li>Any change in the level of service intensity will be documented in the family file.</li> <li>Changes to service intensity will be determined through staffing with the supervisor.               <ul style="list-style-type: none"> <li>Staffing may occur during a group or one-on-one meeting.</li> </ul> </li> </ul>

12. After the first three months of enrollment, families will receive the number of visits and significant contacts identified through staffing with the supervisor.		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<ul style="list-style-type: none"> <li>Families receive monthly home or quality visits and significant contacts as identified through staffing with the supervisor.</li> <li>A rationale for the use of quality visits is provided in the case notes, if applicable.</li> <li>If a family receives less than the identified number of home or quality visits or significant contacts, the standard may still be met if sufficient attempts have been made to re-engage the family.</li> </ul> <p><i>Guidance</i></p> <ul style="list-style-type: none"> <li>The re-engagement of the family will be assessed by the reviewer of the file and may include drop in visits, phone calls or letters to reschedule. Efforts will be discussed with the specialist and the supervisor, with final determination by the reviewer.</li> </ul>
13. All home or quality visits, other contacts, attempts to contact, closing summary, and collateral contacts made with the family or on behalf of the family will be accurately and thoroughly documented in the family file.		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<ul style="list-style-type: none"> <li>All contact with a family with or on behalf of a family must be documented in the family file. Contacts may include, but are not limited to the following: phone calls, letters, emails, text messages, home visits, quality visits, face-to-face contacts, collateral contacts (with other service providers), and attempted contacts of any kind.</li> <li>Case notes/contact logs provide an accurate description of the home visit, including all issues (past and present) that were discussed, strategies/interventions that were developed, family members present, how services were delivered, and actions taken.</li> <li>Case notes/contact log are specific, factual, relevant and legible. Opinions and judgments of the worker are supported by factual evidence.</li> <li>Contact notes for the first home visit and ongoing visits will discuss family strengths/resources; services needed from FaDSS, what needs to be accomplished and tentative timelines for successful completion of the FaDSS program are discussed or negotiated.</li> </ul>

(Next)

		<ul style="list-style-type: none"> <li>Throughout services, case notes address the family's continuing needs for formal supports.</li> <li>Case notes/contact logs are kept up-to-date from intake through exit and are signed, dated, and filed by the 10<sup>th</sup> of the following month of services being provided. Grantees that have an official electronic signature may use that for their signature. All other grantees must use their actual signature, including first and last name. Contact logs must be signed monthly, at the minimum.</li> <li>The closing summary is written by the 10<sup>th</sup> day of the following month of exit, and may be written in the last case note or on a form created by the grantee. The summary must include a brief description of services and accomplishments of the family and identify any next steps for the family.</li> </ul>
<b>14. Specialists will collaborate with other programs that the family is involved with to share case planning strategies.</b>		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<ul style="list-style-type: none"> <li>An initial contact is made with other programs that the family is involved with, including referrals initiated by FaDSS, to share case planning strategies.</li> <li>Contacts address roles and responsibilities of each party to eliminate the potential for duplication of services.</li> <li>If a partnership is established, communication with other programs will be ongoing, including notification of when a family exits the FaDSS program.</li> </ul>
<b>15. Efforts are made to include all family members in home visits.</b>		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<ul style="list-style-type: none"> <li>33% of home or quality visits include interactions between the specialist and at least one additional family member, other than the head of the household, as noted in case notes.</li> <li>Documentation reflects efforts made or actual involvement with others during the home visit. Efforts may include scheduling visits at varying times when others may be present in the home, as documented in case notes.</li> </ul> <p><i>Guidance</i> If the level of service intensity is greater than two visits per month and the specialist is unable to meet the 33% expectation for engaging others, reviewers will consider files on a case-by-case basis.</p>



**16. Family issues are discussed, strategies developed and appropriate action taken.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<ul style="list-style-type: none"> <li>Case notes demonstrate that the needs/barriers of the family are identified; strategies are discussed with the family on meeting the identified needs/barriers.</li> <li>Families are connected to or provided with information to access appropriate services. Appropriate services may address areas such as health, mental health, housing, income, education, employment, food/nutrition, parenting, child development, safety, and support network(s).</li> <li>Critical referrals are addressed and followed up on in a timely manner. (Critical issues may include eviction notice, energy shut off, child abuse, etc.).</li> <li>The need for multiple referrals is prioritized.</li> <li>The family is informed of communication between FaDSS and the referral agency.</li> </ul>

**17. FaDSS staff assist parents to enhance their parenting skills and knowledge of child development.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interview</li> </ul>	FOS	<ul style="list-style-type: none"> <li>Case notes document that specialists are screening <b>development</b> of children 0 - 5 through observation and/or informal means, formal assessment or that another agency has assessed these issues. Case notes should include documentation that appropriate referrals are made.</li> <li>In the case of children involved in the pre-k – 12 systems, case notes should note discussions have occurred with the parents and children (when age appropriate) about their progress in school.</li> <li>Case notes document that specialists assess the families' <b>parenting skills</b> through observation and/or informal means, formal means or that another agency has assessed these issues. (Case notes should include documentation that appropriate referrals are made).</li> <li>Specialists engage parents and children (when age appropriate) in discussions/activities regarding the child's well-being. Specialists visit with families at differing times to observe children in the home.</li> </ul>

**18. Family files will contain completed assessment tool(s).**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<ul style="list-style-type: none"> <li>Assessment process is done as outlined in the grant application.</li> <li>All assessments are completed adequately utilizing conventional methods.</li> <li>Tools are tied to family needs as documented in the case notes.</li> <li>Completion and review of assessments are noted in the contact record.</li> <li>Assessments are signed and dated by the FDS.</li> <li>Assessments provide a basis by which broad goals are established with the family.</li> </ul>

**19. Family files contain written goals that have been developed, modified or reviewed at every home or quality visit.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<ul style="list-style-type: none"> <li>Files contain written goals that are developed, modified or reviewed at every home visit.</li> <li>The statewide goal setting form is completed accurately and thoroughly.</li> <li>Goals are agreed upon by the family and are measureable.</li> </ul>

**20. Goals reflect the family issues and demonstrate progress toward achievement.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<ul style="list-style-type: none"> <li>Goals are driven by the family's unique strengths and barriers and are developed with the full participation of the family.</li> <li>Families' backgrounds, experiences, skills, race, culture, ethnicity, language, religion and socioeconomic status have been taken into consideration when developing goals.</li> <li>File contains goals that deal with both economic issues and family stability issues.</li> <li>Goals are based on and relate to completed assessments and are supportive of the FIA.</li> <li>Goals do not conflict with other family plans.</li> </ul>

**21. All families enrolled in the FaDSS program will have a FaDSS Self-Sufficiency Matrix completed at enrollment and exit.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<p><b>At Enrollment:</b></p> <ul style="list-style-type: none"> <li>Within two months of program enrollment, the FaDSS Self-Sufficiency Matrix is completed in the correct manner on each required family member, entered into the web-based system, with the hard copy placed in the family file.</li> </ul> <p><b>At Exit:</b></p> <ul style="list-style-type: none"> <li>Within ten days of the following month of exit, the FaDSS Self-Sufficiency Matrix is completed in the correct manner on each required family member, entered into the web-based system, with the hard copy placed in family file.</li> </ul>

**22. Family files will contain monthly PROMISE JOBS updates for families receiving FIP.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<ul style="list-style-type: none"> <li>File contains all the required PROMISE JOBS Updates.</li> <li>The monthly PROMISE JOBS Update was filled out with substance.</li> <li>Completed accurately and does not conflict with contact notes.</li> <li>Updates are not completed for families in three month transition.</li> </ul>

**23. Specialists will make every effort to attend Family Investment Agreement (FIA) appointments.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Family File &amp; Specialist Interviews</li> </ul>	FOS	<ul style="list-style-type: none"> <li>Specialists attend FIA appointments or document the reason why they were not able to attend.</li> <li>If not going to be present at FIA appointment, the specialist assists the family in preparing for the FIA appointment.</li> <li>If not present at the meeting, the specialist follows up with the family and the PROMISE JOBS worker after the appointment.</li> </ul>

**Supervision, Training, and Qualifications (Standards 24-32)****24. Specialists will be observed on a minimum of two home visits per year by their supervisor.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Grantee Observation Form personnel file</li> <li>Specialist Interviews</li> </ul>	FOS	<ul style="list-style-type: none"> <li>Specialist is observed on a minimum of two home visits per year by their supervisor.</li> <li>The supervisor maintains completed observation forms.</li> <li>Supervisor observes the discussion of family plan and progress towards goals/outcomes for the family.</li> </ul> <p><i>Guidance</i> This will be looked at for the prior year. If a person does not work the entire year the reviewer will discuss with the supervisor what the required number of observation should be and assess accordingly. Best practice is that new workers would have several home visit observations during initial training.</p>

25. Supervisors will address each specialist's entire caseload during a monthly one-on-one meeting.		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Supervisor Tracking &amp; Interview</li> </ul>	FSO	<ul style="list-style-type: none"> <li>Supervisor addresses the entire caseload of each specialist at a regular one-on-one meeting.</li> <li>Staffing covers:               <ul style="list-style-type: none"> <li>Service intensity (ongoing and/or third month)</li> <li>Plan for the family is addressed.</li> <li>Progress toward goals and outcomes are assessed.</li> </ul> </li> </ul> <p><i>Guidance</i> This can be very detailed for some families and very brief for others.</p> <p>The reviewer will discuss with the supervisor the method in which this is tracked by the supervisor and the reviewer will assess accordingly. Examples of methods of tracking are as follows:</p> <ul style="list-style-type: none"> <li>Supervisor keeps a spreadsheet that contains information on each specialist related to dates/times of each meeting and provides an agenda with addressing entire caseload as a standing item.</li> <li>Supervisor keeps detailed notes on each regular meeting that show the date and what occurred.</li> </ul>
26. Supervisors will have a minimum of two contacts with each specialist per month.		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Supervisor Tracking &amp; Interview</li> <li>Agenda from staff meetings</li> </ul>	FSO	<ul style="list-style-type: none"> <li>Supervisor has two contacts with each specialist per month.</li> </ul> <p><i>Guidance</i> Can be group and one-on-one. Supervisor will track that this is done on a monthly basis. Note: Group meetings must have staffing of some families on the agenda. This is to promote sharing of ideas and techniques to work with the family.</p>

(Next)

		<p>The reviewer will discuss with the supervisor the method in which this is tracked by the supervisor. The reviewer will assess accordingly. Examples of methods of tracking are as follows:</p> <ul style="list-style-type: none"> <li>○ Supervisor keeps a spreadsheet that contains information on each specialist, including times of each meeting.</li> <li>○ Supervisor keeps detailed notes on each regular meeting that include the date of the meeting.</li> </ul>
<b>27. All files must be reviewed during the third month of enrollment and at exit.</b>		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>• Family File</li> <li>• Supervisor Tracking and Interview</li> </ul>	FOS	<ul style="list-style-type: none"> <li>• File reviews will be conducted during the third month of enrollment and at exit to assure that files contain all required documentation.</li> <li>• File review can be any combination of supervisor review or peer review.</li> <li>• All file reviews must be verified by the supervisor.</li> <li>• Third month file review must be documented by the supervisor no later than the end of the third month of service.</li> <li>• Exit file reviews must be documented by the supervisor no later than the end of the month following the completion of exit paperwork. For example: File exited anytime in April will have the exit paperwork completed no later than the 10<sup>th</sup> of May. The exit file review must be completed by the end of the following month, which would be the last day in June.</li> </ul> <p><i>Guidance</i> Grantees may use file review forms of their choosing.</p>
<b>28. FaDSS staff are trained to fulfill their job responsibilities.</b>		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>• Training Manual or Plan</li> <li>• Grant Application</li> <li>• Personnel files</li> <li>• Staff interviews</li> </ul>	FOS	<p><b><u>Orientation (minimum expectations)</u></b></p> <ul style="list-style-type: none"> <li>• New personnel (all staff on grid) are oriented within the first three months of hire to: <ul style="list-style-type: none"> <li>○ The organization's mission, philosophy, goals, and services</li> <li>○ The cultural and socioeconomic characteristics of the service population</li> <li>○ The organization's place within its community</li> </ul> </li> </ul>

(Next)

		<ul style="list-style-type: none"> <li>○ The organization's personnel manual</li> <li>○ Lines of accountability and authority within the organization</li> </ul> <p><b>Other Trainings</b></p> <ul style="list-style-type: none"> <li>• All personnel on the staffing grid are trained on the organization's policies and procedures on confidentiality and disclosure of service recipient information and penalties for violation of these policies and procedures. The FaDSS program must follow Iowa Code Section 217.30. This includes duty to warn and reportable criminal behavior, including criminal, acquaintance, and statutory rape. <b>This training will provided within one month of hire.</b></li> <li>• All FaDSS staff that provide direct services to families or those that supervise receive the following:             <ul style="list-style-type: none"> <li>○ Notification that they are mandatory child abuse reporters and will be required to complete an approved mandatory child abuse reporter training <b>within one month of hire.</b></li> <li>○ Approved training on mandatory reporting and the identification of clinical indicators of suspected abuse and neglect. Training is completed <b>within six months of hire and subsequently every five years.</b> Certificates of completion are maintained in the personnel file.</li> <li>○ Training on the FaDSS Code of Ethics <b>within one month of hire</b>; a signed copy of the Code of Ethics is maintained in personnel file.</li> <li>○ Training on the Difficulty of Service Scale and FaDSS Self-Sufficiency Matrix (provided by a DCAA-approved trainer) <b>within one month of hire.</b></li> <li>○ Training on the web-based system (review of handbook) <b>within three months of hire.</b></li> <li>○ Training on collecting information for the FaDSS Annual Activity Report, Snapshot and Community Partnership Report (review all annual report documents) <b>within three months of hire.</b></li> </ul> </li> <li>• All FaDSS staff that provide direct services to families receive training on proper documentation techniques and the maintenance and security of case records <b>within three months of hire.</b> Training will include the following:             <ul style="list-style-type: none"> <li>○ How family files are set up and what needs to be included</li> <li>○ How to write case notes and other documentation</li> <li>○ Training on assessment tools outlined in the grant application</li> <li>○ Training on goal setting document</li> <li>○ The legal rights of service recipients (FaDSS Family Rights Statement and/or other forms required by the agency)</li> </ul> </li> </ul> <p style="text-align: right;">(Next)</p>
--	--	--

		<ul style="list-style-type: none"> <li>• All FaDSS staff providing direct family development services, staff who supervises them and those responsible for overall management of the FaDSS program must complete <b>ten hours of training per year</b>, as approved by their supervisor. Part time staff will have the hours prorated accordingly.</li> <li>• Personnel demonstrate competence in, or receive training on, the needs of special populations within the defined service population, including the need for normalizing experiences and social inclusion.</li> </ul> <p><b><u>Family Development Certification</u></b></p> <ul style="list-style-type: none"> <li>• All FaDSS staff providing direct family development services, staff who supervise them and those responsible for overall management of the FaDSS program will demonstrate competencies by successfully completing a FaDSS Council approved Family Development Certification (FDC) training within one year of hire as documented by a certificate of completion in personnel file. The FDC training, at the minimum, addresses the following: <ul style="list-style-type: none"> <li>○ The establishment of rapport and responsive behaviors with service recipients</li> <li>○ The needs of individuals and families in crisis, including special service needs of victims of violence, abuse, or neglect and their family members</li> <li>○ Basic health and medical needs of the service population</li> <li>○ Procedures for working with English language learners and persons with communication impairments</li> <li>○ Public assistance and government subsidies</li> <li>○ Interventions that address cultural and socioeconomic factors in service delivery</li> <li>○ The role cultural identity plays in motivating human behavior</li> <li>○ Understanding bias or discrimination</li> <li>○ Advocacy, including how to: <ul style="list-style-type: none"> <li>▪ Access financial and other community resources</li> <li>▪ Identify the impact of the socioeconomic environment on the service population</li> <li>▪ Empower service recipients and their families to advocate on their own behalf</li> </ul> </li> </ul> </li> </ul>
<b>29. All grantees are required to have one staff trained by DCAA to provide training on the FaDSS Code of Ethics, Difficulty of Service Scale, and Self-Sufficiency Matrix.</b>		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>



<ul style="list-style-type: none"> <li>Signed certificate in personnel files</li> </ul>	DR	<ul style="list-style-type: none"> <li>Certificate of completion of FaDSS Code of Ethics trainer training in staff file that indicates the training has been completed.</li> <li>Certificate of completion of the DOS and SSM trainer training in staff file that indicated the training has been completed.</li> </ul>
---	----	---

**30. Supervision of specialists must be provided by staff that meet the qualifications outlined in the DCAA contract.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Transcript or copy of degree</li> <li>Approved Waiver and/or Waiver Request</li> <li>Personnel file</li> </ul>	FOS	<p>Supervisors are qualified by:</p> <ul style="list-style-type: none"> <li>An advanced degree in health, education, or human service field; or</li> <li>A bachelor's degree in a health or human service field and two years of experience working with children and families</li> <li>An associate's degree in a health or human service field and four years of experience working with children and families</li> <li>An official transcript or copy of the degree is in the personnel file.</li> <li>Any supervisory staff hired prior to FY13 that does not meet the above qualifications will have an approved request for waiver or approved completed waiver on file at the Agency. The Contractor will have all the waiver requirements met within three years of the waiver request. The waiver must be in accordance with Agency waiver policy.</li> </ul> <p>Guidance All waivers will need to be approved by June 30, 2015.</p>

**31. All staff listed on the FaDSS staffing grid will have a state criminal background and child abuse records check completed.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Personnel File Review</li> </ul>	FOS	<ul style="list-style-type: none"> <li>All personnel records have documentation that checks records checks are completed prior to hire and repeated every two years.</li> </ul>

**32. Secure maintenance of family files.**

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Personnel Interview</li> </ul>	FOS	<ul style="list-style-type: none"> <li>FaDSS family files are kept in a locked storage cabinet.</li> <li>Access to FaDSS family files is limited to authorized personnel of the FaDSS program.</li> <li>The comprehensive, official family file is not brought into a family's home.</li> </ul> <p><i>Guidance</i> The program may utilize working files when conducting services in a family's home. The working file may contain recent documents, such as assessments, case notes, or goal sheets in progress.</p>

**Organizational (Standards 33-47)****33. Open and Transparent Operations**

The organization operates in an open and transparent manner in accordance with applicable legal requirements and uses assets exclusively and effectively to serve the purpose for which it has been created.

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>990 and evidence of accessibility</li> <li>Board Training</li> <li>Agency Annual Report</li> <li>Marketing and Communications Plan</li> <li>Website</li> </ul>	CSBG	<ul style="list-style-type: none"> <li>The public has access to clear, timely, accurate information about the organization's programs, activities, service recipients, and finances.</li> <li>The organization promotes and maintains the education of the board and staff regarding ethical practice and sets expectations for operating in an open, transparent manner.</li> </ul> <p><i>Guidance</i> Consumers of services, donors, volunteers, and public officials are among those for whom access to information should be assured. The federal Form 990 filing, a vehicle to convey full descriptions of activities undertaken, is used increasingly as a source of information for consumers.</p>

34. Conflict of Interest		
The organization prevents the enrichment of insiders and other abuses through the adoption and enforcement of a conflict of interest policy consistent with state laws and regulations.		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Conflict of Interest Policy in PPM</li> <li>Ethics training for board and staff</li> <li>Staff and Organizational Interviews</li> <li>Form 990, Part IV, Line 11B</li> </ul>	CSBG	<p>A conflict of interest policy is tailored to the organization's specific needs and characteristics, and:</p> <ul style="list-style-type: none"> <li>Defines conflict of interest</li> <li>Identifies groups of individuals within the organization covered by the policy.</li> <li>Addresses transactions between board members and the organization.</li> <li>Addresses policy enforcement.</li> <li>Provides a framework for evaluating situations that may constitute a conflict.</li> <li>Invests management with developing procedures that facilitate disclosure of information to prevent and manage potential and apparent conflicts of interest.</li> </ul> <p><i>Guidance</i> If the conflict of interest policy requires signatures of board members and staff, these signed forms should be available with the policy. The conflict of interest policy should ensure that governing body or advisory board members who are personnel or relatives of personnel excuse themselves on matters where their objectivity would be compromised, e.g., promotions, salaries, specific benefit packages. The standard does not require an exhaustive list of conflict situations, but the policy should provide a framework for determining when a situation constitutes conflict.</p>

**35. Protection of Reporters of Suspected Misconduct**

The organization prohibits employment-related retaliation against employees, and others affiliated with the organization, who come forward with information about suspected misconduct or questionable practices, and provides an appropriate, confidential channel for reporting such information.

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Whistle blower policy in PPM</li> <li>Code of Conduct</li> <li>Staff and Organizational Interviews</li> </ul>	CSBG	Procedures include: <ul style="list-style-type: none"> <li>Avoidance of baseless allegations</li> <li>Maintenance of anonymity</li> <li>Definitions of misconduct</li> <li>Rights and responsibilities of reporters</li> <li>Roles of supervisors, senior management and governing body officers or committees</li> </ul>

**36. Professional Conduct**

The organization conducts business and delivers services in an honest, ethical, objective manner and is guided in making decisions by professional responsibility.

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Code of Ethics</li> <li>Conflict of Interest Policy</li> <li>FaDSS Staff have signed the FaDSS Code Ethics</li> <li>Referral process for FaDSS</li> <li>Staff Interview</li> </ul>	CSBG FO	<ul style="list-style-type: none"> <li>Personnel know and follow the code of ethics of their respective professions. <b>(FOS &amp; CSBG)</b></li> <li>The organization prohibits: <b>(FOS)</b> <ul style="list-style-type: none"> <li>making or accepting payment or other consideration in exchange for referrals</li> <li>steering, directing referrals to, or giving preference to clients easier or less costly to serve for the organization and practitioners within the organization</li> <li>steering or directing referrals to private practices in which personnel, consultants, or the immediate families of personnel and consultants are engaged</li> </ul> </li> <li>The organization prohibits preferential treatment of organization members, community partners, members of the organization's governing body, advisory boards, personnel, or consultants applying for and receiving the organization's services. <b>(CSBG)</b></li> </ul> <p><i>Guidance:</i> It is permissible to provide referral lists that include personnel and consultants with private practices, or family members of personnel and consultants, but the organization may not actively direct service recipients to the practices of these individuals.</p>

**37. Protection of Rights and Ethical Obligations**

The organization protects the legal and ethical rights of all clients.

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>• FaDSS Rights and Responsibilities</li> <li>• Agency Client Rights and Responsibilities</li> <li>• Problem Resolution/Grievance Procedure</li> <li>• Limited English Proficiency Policy Statement</li> <li>• Organization policy in place for use of interpreters</li> </ul>	FOS	<ul style="list-style-type: none"> <li>• Clients receive a written summary of their rights and their responsibilities at initial contact, which includes:               <ul style="list-style-type: none"> <li>○ basic expectations for use of the organization's services</li> <li>○ hours that services are available</li> <li>○ rules, expectations, and other factors that can result in discharge or termination of services</li> <li>○ a clear explanation of how to lodge complaints, grievances, or appeals</li> </ul> </li> <li>• The organization accommodates the written and oral communication needs of clients by:               <ul style="list-style-type: none"> <li>○ communicating, in writing and orally, in the languages of the major population groups served</li> <li>○ providing, or arranging for, bilingual personnel or translators or arranging for the use of communication technology, as needed</li> <li>○ providing, or arranging for, telephone amplification, sign language services, or other communication methods for deaf or hearing impaired persons</li> <li>○ providing, or arranging for, communication assistance for persons with special needs who have difficulty making their service needs known</li> <li>○ considering the person's literacy level</li> </ul> </li> </ul> <p><i>Guidance:</i>            The organization's explanation of how to lodge complaints, grievances, or appeals includes informing clients about their right to file a complaint with a higher authority. For most organizations this will be the managing organization's board of directors.</p> <p>If a client is disoriented or suffering from impaired cognition at initial contact, then a written summary of client rights and responsibilities should be provided at an appropriate time.</p>

**38. Confidentiality and Privacy Protections**

The organization protects the confidentiality of information about clients and assumes a protective role regarding the disclosure of confidential information.

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>• FaDSS Family Rights</li> <li>• Client confidentiality policy</li> <li>• Agency guidelines for child abuse reporting</li> <li>• Copy of Release</li> <li>• Family files</li> <li>• Staff Interview</li> <li>• Participant Interview</li> </ul>	FOS	<ul style="list-style-type: none"> <li>• The organization informs the client, prior to his or her disclosure of confidential or private information, about circumstances when the organization may be legally or ethically required to release such information</li> <li>• When the organization receives a request for confidential information about a client, or when the release of confidential information is necessary for the provision of services, prior to releasing such information, the organization:               <ul style="list-style-type: none"> <li>○ Determines if the request is valid;</li> <li>○ Obtains the client's informed, written authorization to release the information.</li> <li>○ Obtains informed, written authorization from a parent or legal guardian, if the person is a minor or an adult who is incapable of providing authorization to release the information.</li> </ul> </li> <li>• The program has clear criteria or definitions through which to identify suspected cases of child abuse and neglect and procedures for reporting are followed.</li> </ul> <p><i>Guidance:</i> The organization obtains legal counsel regarding the confidentiality of records and the conditions under which they may be subpoenaed. The organization seeks additional legal counsel, as necessary, when others seek identifying information about an individual or family.</p>

<b>39. Grievance Procedures</b>		
The organization maintains a formal mechanism through which applicants, clients, and other stakeholders can express and resolve grievances, including denial of service.		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Problem Resolution/Grievance Procedure (PPM)</li> <li>FaDSS Family Rights</li> </ul>	CSBG FOS	<ul style="list-style-type: none"> <li>The policy includes the following: <b>(CSBG &amp; FOS)</b> <ul style="list-style-type: none"> <li>Timely written notification of the resolution and an explanation of any further appeal, rights or recourse</li> <li>At least one level of review that does not involve the person about whom the complaint has been made or the person who reached the decision under review</li> <li>The right of the consumer or a family member to be heard by a panel or person delegated to review responsibility</li> </ul> </li> </ul>
<b>40. Personnel Development and Training</b>		
The organization's training and development program provides personnel with the information necessary to competently provide services.		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>New Hire Orientation and ongoing professional development</li> <li>Grant Application</li> <li>Interview with Human Resources</li> <li>Program and Operating Budgets</li> <li>Orientation Checklist</li> <li>Professional Development Plan</li> <li>Annual Evaluation</li> <li>Organizations policy and procedures on training</li> </ul>	FOS	<ul style="list-style-type: none"> <li>The personnel training and development program:             <ul style="list-style-type: none"> <li>Promotes cooperation among personnel</li> <li>Includes an education and training program that provides opportunities for learning and skill enhancement</li> <li>Encourages creativity and innovation in program development and service delivery</li> <li>Promotes awareness of, and sensitivity to, cultural backgrounds and needs</li> <li>Rewards and acknowledges the contributions of personnel.</li> </ul> </li> <li>The personnel training and development programs reviewed annually and revised in accord with an assessment of the organization's training needs:             <ul style="list-style-type: none"> <li>Outlines specific expectations regarding training required of personnel in different positions and categories</li> <li>Has faculty/trainers who are qualified and well-prepared</li> <li>provides the opportunity for personnel to fulfill the continuing education requirements of their respective professions</li> <li>Provides opportunities to support advancement within the organization and profession</li> </ul> </li> </ul>

(Next)

*Guidance*

The organization allocates sufficient resources to support personnel development and training through a structured program that uses a variety of educational methods. For example, training can be provided through direct supervision or through the organization's quality improvement activities. Training can also be provided through conferences and workshops offered within, and external to, the organization.

**41. Supervision**

The organization has a system of supervision that promotes effective use of organizational resources and positive outcomes.

<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>• FaDSS Staffing Grid</li> <li>• Supervisors job description</li> <li>• Supervisor performance evaluation</li> <li>• Human Resource Interview</li> <li>• Supervision tracking logs</li> <li>• Supervisor Interview</li> <li>• FDS Interview</li> </ul>	FOS	<ul style="list-style-type: none"> <li>• Supervisors have sufficient time to provide individual or group supervision as appropriate to individual needs or program type, and to conduct evaluation and training activities</li> <li>• When assigning supervisory responsibilities, the organization considers:               <ul style="list-style-type: none"> <li>○ the qualifications of the worker and the supervisor</li> <li>○ the complexity and intensity of services</li> <li>○ other organizational responsibilities</li> </ul> </li> <li>• Supervisors are responsible for:               <ul style="list-style-type: none"> <li>○ delegating and overseeing work assignments</li> <li>○ ensuring that service delivery is performed according to the organization's mission, policies and procedures, and service philosophy</li> <li>○ providing case consultation and in-service training, as appropriate</li> <li>○ identifying unmet training needs</li> <li>○ conducting performance evaluations</li> </ul> </li> <li>• Supervisors of direct service personnel are competent to assess the needs of service recipients, the resources available to meet those needs, and the legal and policy requirements governing service delivery</li> <li>• Supervisors support and enhance staff's ability to perform their jobs by teaching and modeling, as appropriate:               <ul style="list-style-type: none"> <li>○ technical knowledge and skills</li> <li>○ work management</li> <li>○ communication skills</li> <li>○ conflict management skills</li> </ul> </li> <li>• Supervisors are able to:               <ul style="list-style-type: none"> <li>○ address interpersonal barriers and strengths in personnel</li> <li>○ empower those receiving supervision</li> </ul> </li> </ul>

(Next)



		<ul style="list-style-type: none"> <li>○ offer criticism in a constructive manner</li> <li>○ understand employment and labor laws</li> <li>• Supervisors of direct service personnel assume the following administrative responsibilities, as appropriate: <ul style="list-style-type: none"> <li>○ tracking and monitoring the progress of the families and individuals receiving services.</li> <li>○ collecting and applying data to improve client outcomes.</li> <li>○ meeting the organization's quality improvement and evaluation requirements</li> </ul> </li> <li>• Supervisors who interview prospective employees receive training on both permissible and impermissible or unlawful categories of interview questions pursuant to applicable employment and labor laws</li> </ul> <p><i>Guidance</i> Generally, supervisory ratios do not exceed 1:8</p>
<b>42. Leadership Endorsement of Quality and Performance Values</b> The organization's leadership promotes a culture that values service quality and continual efforts by the full organization, its partners and contractors to achieve strong performance, program goals, and positive results for service recipients.		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>• Organization strategic plan</li> <li>• Board and management team meeting minutes</li> <li>• Organization Continuous Quality Improvement plan</li> <li>• Job description for Continuous Quality Improvement staff</li> <li>• Sub Contracts of FaDSS, if appropriate</li> <li>• Minutes from internal stakeholders meetings and board minutes</li> <li>• Interview with Executive Director and those that Executive Director deems appropriate</li> </ul>	CSBG FOS	<ul style="list-style-type: none"> <li>• Agency has a long-term plan, often called a strategic plan, that contains these elements: <b>(CSBG)</b> <ul style="list-style-type: none"> <li>○ assigns responsibilities for implementation and coordination of activities</li> <li>○ establishes a periodic review of essential management and service delivery processes</li> <li>○ outlines methods and timeframes for monitoring and reporting activities</li> <li>○ provides an assessment process, including timeline, to determine the usefulness of the plan <ul style="list-style-type: none"> <li>▪ The assessment plan includes participation and oversight by the agency's board of directors</li> </ul> </li> </ul> </li> <li>• Quality expectations are reflected in key documents including: <b>(CSBG&amp; FOS)</b> <ul style="list-style-type: none"> <li>○ budgets</li> <li>○ policy and procedures manuals</li> <li>○ new staff training material</li> <li>○ communications to staff, family members, consumers, and volunteers</li> <li>○ service provider contracts</li> </ul> </li> </ul>

(Next)

		<ul style="list-style-type: none"> <li>Performance and outcomes expectations and achievements are reviewed by internal stakeholders, including management staff and the organization's board of directors, on a regular basis and revised based on what is learned. <b>(CSBG)</b></li> </ul>
<b>43. Access to Case Records</b> Service recipients or designated legal representatives can access their case records, consistent with legal requirements.		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Organization policy regarding access to case records</li> <li>Confidentiality policy</li> </ul>	FOS	<ul style="list-style-type: none"> <li>The organization maintains policies and procedures that address access to confidential case records meets legal requirements, and is limited to:               <ul style="list-style-type: none"> <li>the service recipient (current or former) or, as appropriate, a parent or legal guardian</li> <li>personnel authorized to access specific information on a "need-to-know" basis</li> <li>auditors, contractors, and licensing or accrediting personnel consistent with the organization's confidentiality policy</li> </ul> </li> <li>Reviews of case records by service recipients are:               <ul style="list-style-type: none"> <li>conducted in the presence of professional personnel on the organization's premises</li> <li>carried out in a manner that protects the confidentiality of family members and others whose information may be contained in the record</li> </ul> </li> </ul> <p><i>Guidance:</i>            Case records should not be left in public areas such as on carts in hallways, on desks, or in non-secured areas. When not being used by authorized staff, files should be returned to a secure area.</p>

44. Human Resources		
A stable, qualified workforce contributes effectively and efficiently to consumer satisfaction and positive service delivery results.		
Evidence of Compliance	Method of Review	Meets Expectations
<ul style="list-style-type: none"> <li>• Job Descriptions</li> <li>• EEO Plan</li> <li>• PPM Recruitment and Selection</li> <li>• Job Posting policy</li> <li>• Pre-employment investigation policy</li> <li>• Background check forms</li> <li>• Orientation of new workers</li> <li>• Human Resource Interview</li> <li>• Supervisor Interview</li> <li>• Staff Interviews</li> <li>• Information to the right is included in PPM.</li> <li>• Policy for annual evaluation</li> <li>• Annual Evaluation of staff in personnel files</li> </ul>	FOS CSBG	<ul style="list-style-type: none"> <li>• Job descriptions and selection criteria: <b>(FOS)</b> <ul style="list-style-type: none"> <li>○ state the qualifications, job expectations, essential functions, and responsibilities for each position or group of like positions.</li> <li>○ include sensitivity to the service population's cultural and socioeconomic characteristics.</li> <li>○ are reviewed and updated regularly.</li> </ul> </li> <li>• Recruitment and selection procedures include: <b>(FOS)</b> <ul style="list-style-type: none"> <li>○ notifying personnel of available positions.</li> <li>○ verifying references and credentials of personnel and independent contractors.</li> <li>○ providing applicants with a written job description.</li> <li>○ using standard interview questions that comply with employment and labor laws.</li> </ul> </li> <li>• Screening procedures <b>(FOS)</b> <ul style="list-style-type: none"> <li>○ For new employees, contractors, and direct service volunteers include appropriate, legally permissible, and mandated reviews of state criminal history records and civil child abuse and neglect registries to determine the appropriateness of hiring prospective personnel who will provide direct services to children and families.</li> </ul> </li> <li>• All personnel receive, and confirm in writing, receipt of an up-to-date employee policies and procedures manual that articulates current: <b>(FOS &amp; CSBG)</b> <ul style="list-style-type: none"> <li>○ conditions of employment</li> <li>○ benefits</li> <li>○ rights and responsibilities of employees</li> <li>○ other important employment-related information</li> </ul> </li> <li>• The organization analyzes employment patterns, and when the cultural characteristics of personnel do not generally reflect those of its defined service population, the organization implements a plan that: <b>(FOS)</b> <ul style="list-style-type: none"> <li>○ establishes goals for recruitment employment, and promotion; and</li> <li>○ includes timetables for correction.</li> </ul> </li> <li>• Every full-time and part-time employee receives a written annual performance evaluation conducted by the person to whom he or she reports. <b>(FOS &amp; CSBG)</b></li> </ul>

(Next)

		<p><i>Guidance:</i> All organizations are expected to analyze employment patterns. If the analysis indicates that the organization's employment patterns are not reflective of the community, the organization is required to develop a plan that includes the elements in the standard.</p> <ul style="list-style-type: none"> <li>• The organization should not use criminal history records to deny employment to qualified individuals unless the nature of the conviction is related to the job duties. The organization should consult with legal counsel about any concerns regarding the appropriate use of background information.</li> <li>• Policies and procedures address: <ul style="list-style-type: none"> <li>○ conditions and procedures for layoffs</li> <li>○ emergency and safety procedures</li> <li>○ equal employment policy, nepotism and favoritism protections</li> <li>○ grievance process procedures</li> <li>○ insurance protections including unemployment, disability, medical care, and malpractice liability</li> <li>○ performance appraisal system;</li> <li>○ promotions</li> <li>○ professional development</li> <li>○ standards of conduct</li> <li>○ time-off policies</li> <li>○ wage policy</li> <li>○ working conditions</li> </ul> </li> </ul>
<b>45. Fiscal Management</b> The organization's financial accountability and viability are achieved through the application of sound financial management practices that accord with legal and regulatory requirements.		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>• Fiscal Interview</li> <li>• 990</li> <li>• Independent audit</li> <li>• DCAA Fiscal Monitoring</li> </ul>	FR FDR FOS CSBG	<ul style="list-style-type: none"> <li>• The budget planning process and monitoring includes participation of management, the governing body, and other relevant organization participants. <b>(ALL)</b></li> <li>• Upon request the organization provides an annual report of fiscal, statistical, and service data that includes summary information regarding its financial position. <b>(CSBG)</b></li> <li>• The organization undergoes an audit of its financial statements within 120 days of the end of the fiscal year by an independent, certified public accountant approved by the governing body. <b>(FR, FDR, &amp; CSBG)</b></li> </ul>

(Next)

		<i>Guidance:</i> Audited financial statements and IRS Form 990 should be easily accessible for review.
<b>46. Governance</b> The organization's governing body is sufficiently active, capable, and diverse to guide, plan, and support the achievement of the organization's mission and goals.		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Board training</li> <li>Board Responsibilities</li> <li>Read Board Minutes</li> <li>Executive Director Interview</li> <li>Board Interview</li> <li>Review of Board by-laws</li> </ul>	CSBG	<ul style="list-style-type: none"> <li>The organization has board members that have completed board training.</li> <li>Board Members understand their roles and responsibility as a board member.</li> <li>Board Members reflect the population within the area the organization serves.</li> <li>Agency has and follows by-laws.</li> <li>The organization conducts board meetings as directed in the by-laws and keeps minutes.</li> </ul>
<b>47. Research Protections</b>		
<i>Evidence of Compliance</i>	<i>Method of Review</i>	<i>Meets Expectations</i>
<ul style="list-style-type: none"> <li>Policy and Procedure Manual</li> </ul>	FOS	<p>The organization has a policy in place for conducting research involving families that includes:</p> <ul style="list-style-type: none"> <li>Establishes a mechanism to review research proposals involving families, which <ul style="list-style-type: none"> <li>Examines the ethics of the proposal</li> <li>Approves the proposal</li> <li>Monitors the ongoing research activities</li> <li>Reports to governing board</li> <li>Establishes the right of individuals to refuse to participate without penalty and guarantees participants' confidentiality.</li> </ul> </li> <li>The identity and privacy of participants is safeguarded in all phases of research conducted by, or with the cooperation of, the organization.</li> <li>Research participants, or a parent or legal guardian, sign a consent form that includes: <ul style="list-style-type: none"> <li>a statement that he or she voluntarily agrees to participate</li> <li>a statement that the organization will continue to provide services whether he or she agrees to participate</li> <li>an explanation of the nature and purpose of the research</li> <li>a clear description of possible risks or discomfort</li> </ul> </li> </ul>

(Next)

		<ul style="list-style-type: none"><li>○ a guarantee of confidentiality</li></ul> <p><i>Guidance</i> All research involving consumers is conducted in accordance with applicable law requirements. Research includes all forms of internal or external research involving families, except internal program evaluation and outcomes research, and educational projects carried out by students and interns as part of their professional training.</p> <p>Statistical analyses, reports, and summaries are compiled and presented in a manner that masks the identity of the research participants. Case examples from individual case records must be prepared, prior to dissemination, in a manner that masks the individual's identity.</p>
--	--	---